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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/976,481	10/12/2001	Stephen Butz	BUTZ-PA-1	9944

7590 01/18/2006

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10 North Calvert Street  
Baltimore, MD 21202

EXAMINER
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LU, CHARLES EDWARD

ART UNIT	PAPER NUMBER
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2163

DATE MAILED: 01/18/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

## Interview Summary

Application No.

09/976,481

Applicant(s)

BUTZ, STEPHEN

Examiner

Charles E. Lu

Art Unit

2163

All participants (applicant, applicant's representative, PTO personnel):

(1) Charles E. Lu.

(3) Royal Craig. (34145)

(2) Safet Metjahic.

(4) Stephen Butz. (Applicant)

Date of Interview: 1/13/2006.

Type: a) ☐ Telephonic b) ☐ Video Conference

c) ☒ Personal [copy given to: 1) ☒ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☒ Yes e) ☐ No.

If Yes, brief description: software demonstration.

Claim(s) discussed: 1 and 4-9.

Identification of prior art discussed: Briefly discussed Kraftson Patent (6,151,581).

Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Applicant performed software demonstration and proposed claim language was discussed (See Attachment) No agreement was reached with respect to the allowability of proposed amendments.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.



Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

\_\_\_\_\_  
Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

#### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required: The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

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IN THE DRAWINGS

Please replace Figs. 2-6 and 8-10 that were originally attached to the application with formal Figs. 2-6 and 8-10 attached (see Replacement Sheets).

Proposed  
1/13/06

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IN THE ABSTRACT:

Please amend the abstract as follows, shown in redline format. A clean Substitute Abstract is provided herewith:

A system for social service case management that [tat] facilitates storage and querying of social services data in a knowledge base [knowledgebase] in order to provide quantitative accountability for social services via a navigable user interface. The method includes the tracking and assessment of social services based on a defined list of client barriers to success and an indication of the severity of each barrier, and then objectively tracking progress of the social worker based on the reduction of severity and/or elimination of those barriers. The method is implemented in software form using a structured relational database whereby storage tables are inter-related by one or more shared fields. All of the foregoing method steps are administered to and by the social worker using a navigable user interface. The graphical user interface includes a plurality of single-click buttons each for initiating a pre-determined SQL query for allowing a user to generate a report for maintaining quantitative accountability for social services.

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IN THE CLAIMS:

Claims 2 and 3 are canceled, and new claims 4-9 are added. The complete listing of claims below will replace all prior versions and listings of claims in the application:

1. (Previously Presented) A method for the storage and querying of social services data in a knowledge base that provides quantitative accountability for social services provided by a case worker to a client via a navigable user interface, comprising the steps of:

collecting information relating to defined social services and providers;  
collecting information relating to defined ~~customers~~ clients;  
collecting information relating to defined client barriers to productivity;  
collecting information relating to defined ~~customer~~ goal-oriented client outcomes;  
incorporating said collected information into a structured relational database;  
providing a graphical user interface with a ~~plurality of single-click buttons~~ controls each for initiating a pre-determined query for allowing a user to generate a report indicating reduction of said client barriers over time, thereby maintaining quantitative accountability for social services.

2-3. (Canceled)

4.(New) The method for the storage and querying of social services data in a knowledge

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base to provide quantitative accountability for social services according to claim 1, wherein said step of collecting information relating to defined client barriers to productivity further comprises selection of pre-defined itemized barriers to client productivity and for each itemized barrier a severity of said barrier.

5.(New) The method for the storage and querying of social services data in a knowledge base to provide quantitative accountability for social services according to claim 4, wherein said step of providing a graphical user interface with a plurality of controls each for initiating a pre-determined query further comprises a control for initiating a pre-determined query for allowing a user to generate a report assessing progress in reducing severity or eliminating said client barriers over time.

6.(New) The method for the storage and querying of social services data in a knowledge base to provide quantitative accountability for social services according to claim 1, further comprising a step of periodically collecting information measuring reduction of said defined client barriers.

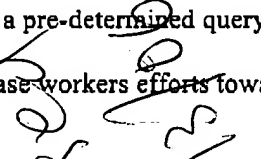
7.(New) The method for the storage and querying of social services data in a knowledge base to provide quantitative accountability for social services according to claim 6, further comprising a step of periodically collecting information specifying said case workers efforts

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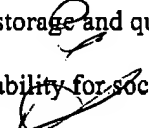
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toward reducing said defined client barriers to productivity over time.

8.(New) The method for the storage and querying of social services data in a knowledge base to provide quantitative accountability for social services according to claim 7, wherein said step of providing a graphical user interface with a plurality of controls each for initiating a pre-determined query further comprises at least one control for initiating a pre-determined query for allowing a user to generate a report assessing reduction of said client barriers over time, and at least one control for initiating a pre-determined query for allowing a user to generate a report assessing effectiveness of ~~said case workers efforts~~ toward reducing said defined client barriers over time.



9.(New) The method for the storage and querying of social services data in a knowledge base to provide quantitative accountability for social services according to claim 1, wherein said step of collecting information relating to defined goal-oriented client outcomes further comprises selecting from a predefined categorical list of progress elements including any one from among the group consisting of job retention, finding a new job, wage increase, promotion, and educational advancement.





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REMARKS

This amendment is submitted in response to the Office Action dated 03 November 2005, the time to respond being until 03 February 2006. Formal figures 2-6 and 8-10 are submitted herewith, and the abstract has been amended to correct informalities. Claims 2 and 3 are canceled and new claims 4-9 are added. Thus, claims 1 and 4-9 remain pending in this application.

Responsive to the Restriction Requirement (paragraph 5), on 28 October 2005, applicant orally elected Group I (method for storing and querying of social services data stored in relational database), the claims readable thereon being claims 1 and 2. This election was without traverse. Applicant herewith confirms election of Group I and thus claim 3 is herein withdrawn.

Applicant appreciates Examiner's indication that Figures 2-6 and 8-10 would be allowable if the excess shading is removed and thus formal drawings are submitted herewith to remove the shading. Applicant respectfully submits that no new matter has been introduced in the drawings, nor was such the intent of Applicant.

The Examiner objected to the abstract of the disclosure because in line 1 "that" is misspelled. Applicant has amended the abstract to correct informalities and respectfully submits the amended abstract.

The Examiner rejected claims 1 and 2 under 35 U.S.C. §102 (b) as being anticipated by Kraftson, et al. (U.S. Patent No. 6,151,581). The Kraftson et al. '581 process is a "[machine-

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readable survey] system for acquiring, managing, analyzing, and summarizing patient clinical care information, practice management/cost information, patient satisfaction, and health care outcomes information gathered from a large network of *physician* practices.” (See paragraph 1 of Detailed Description of Kraftson et al. ‘581 patent). The Kraftson et al. ‘581 patent discloses a *qualitative* process that employs *surveys* designed to provide clinical practice information for *physician patient* care and practice quality improvement. The process includes the steps of: (1) gathering clinical information (information about the physician's clinical decision-making, including the assessment, therapeutic plan, and health outcomes of that plan); (2) gathering physician/patient information (information about the relationship of the patient to the physician, to the physician's practice and to prescribed therapeutic regimens; (3) gathering practice management/cost information (administrative information); (4) creating a database of this information; (5) analyzing data within the database; and (6) providing an analysis regarding clinical decisions that have been made and the effectiveness of the treatment regimens prescribed in comparison with other physicians participating in the system, the perception of quality from the patients' perspective, and the costs and management processes for use by managed care companies and insurance companies.

The Kraftson ‘581 process differs from that of the present invention both in context and in implementation. Kraftson ‘581 aims to provide a quality of care report for medical providers which combines quantitative information (physician results compared to other physicians) with qualitative information (patient surveys). The quantitative comparison requires baseline data. In

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contrast, the present method is designed to assess quality of social services which have no baseline data for comparison. To do this the present method guides social workers into defining *client barriers* to success, and then objectively tracks progress of the social worker based on the reduction and/or elimination of those barriers. The invention also comprises an implementation of the foregoing method in software form which facilitates the guided compilation of a knowledge base that *quantifies the barriers to success*, facilitates objective tracking of progress toward the reduction and/or elimination of those barriers, and then evaluates progress by structured querying of the knowledge base. This is an entirely different model that involves five specific categories of information relating to: 1) the social service case manager, 2) the client, 3) client barriers to success inclusive of severity, 4) client outcome, and 4) general demographic data. The guidance provided to the case manager, and the resulting quantification of the barriers faced by the client are essential features of the present invention, unique to the social services context, and unique in comparison to Kraftson '581. The data entry screen shown in the present application (FIG. 5) guides the case manager to articulate discrete barriers to success. The barriers are discrete obstacles personal to each client which stand in the way of the case worker attaining a goal. For example, transportation may be a barrier to job placement if the client requires transportation to/from work. Other barriers may include Health Issues; Family Issues (e.g., divorce situation); Behavior (behavioral issues); Attitude; Weight; Personal Hygiene, Disability, Laziness; Money Management; Lack of Skills; and Literacy). This barriers data is used to populate a separate database table, which essentially becomes the baseline data by which progress can be analyzed. In accordance with the present invention, case worker progress is analyzed not in terms of reaching an overall goal (such as job placement), but instead by

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reduction over time of the defined barriers to success. This guided entry of discrete client barriers to success and progress toward reduction of the defined barriers is an entirely novel concept in the social services arena. The barrier data is used to populate a separate database table, which essentially becomes the baseline data by which case worker progress can be analyzed over time. This was originally reflected in claim 1, which recites inter alia "collecting information relating to *defined client barriers to productivity*", and "*generat[ing] a report indicating reduction of said client barriers over time.*" While the Examiner cites the graphs in Figs. 9A-D of the Kraftson et al. reference as anticipating the method of claim 1, these reports do not reflect any defined barriers to success, nor do they indicate reduction of client *barriers* over time. In fact, those graphs in Kraftson et al. merely indicate a subjective neutral/dissatisfied response by the patient to treatment or procedures, such as "lack of satisfaction with the insurance provider or doctor's treatment". A "barrier" is something immaterial that impedes or separates, e.g., an obstacle [Merriam Webster]. Kraftson does not define any objective obstacles at all faced by the patient, but rather perceived flaws/issues of factors external to the client, and thus they cannot reasonably be characterized as "barriers". The Kraftson et al. reference simply does not support stretching the meaning of "barriers" as claimed in claim 1, the Examiner's interpretation is misplaced, and Kraftson '581 does not teach or suggest the steps as claimed and therefore does not anticipate claim 1.

Claims 2 is herein canceled and replaced by a set of depending claims which give further definition to the method steps of claim 1.

New claim 4 requires selection of pre-defined itemized barriers to client productivity and for each itemized barrier a severity of said barrier. Kraftson '581 does not teach or suggest this

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step as claimed and therefore claim 4 is believed to be patentable.

New claim 5 requires a graphical user interface with a control for initiating a pre-determined query for allowing a user to generate a report assessing progress in reducing severity or eliminating said client barriers over time. Kraftson '581 does not teach or suggest this step as claimed and therefore claim 4 is believed to be patentable.

New claim 6 requires a step of periodically collecting information measuring reduction of said defined client barriers. Kraftson '581 does not teach or suggest this step as claimed and therefore claim 6 is believed to be patentable.

New claim 7 requires a step of periodically collecting information specifying said case workers efforts toward reducing said defined client barriers to productivity over time. Kraftson '581 does not teach or suggest this step as claimed and therefore claim 7 is believed to be patentable.

New claim 8 requires at least one control for initiating a pre-determined query for allowing a user to generate a report assessing reduction of said client barriers over time, and at least one control for initiating a pre-determined query for allowing a user to generate a report assessing effectiveness of said case workers efforts toward reducing said defined client barriers over time. Kraftson '581 does not teach or suggest either control and therefore claim 8 is believed to be patentable.

New claim 9 requires selecting from a predefined categorical list of progress elements including any one from among the group consisting of job retention, finding a new job, wage increase, promotion, and educational advancement. Kraftson '581 does not teach or suggest this step as claimed and therefore claim 9 is believed to be patentable.

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In view of the above, all pending claims 1 and 4-9 are believed to avoid all the rejections set forth in the Official Action and thus, the case should be in condition for allowance. A Notice to this effect is respectfully requested, and the Examiner is invited to call the undersigned at 410.385.2383 to discuss any remaining issues.

revised  
1/9/06

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\* \* \*

Respectfully submitted,

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Date December 14, 2005

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SUBSTITUTE ABSTRACT

A system for social service case management that facilitates storage and querying of social services data in a knowledge base in order to provide quantitative accountability for social services via a navigable user interface. The method includes the tracking and assessment of social services based on a defined list of client barriers to success and an indication of the severity of each barrier, and then objectively tracking progress of the social worker based on the reduction of severity and/or elimination of those barriers. The method is implemented in software form using a structured relational database whereby storage tables are inter-related by one or more shared fields. All of the foregoing method steps are administered to and by the social worker using a navigable user interface. The graphical user interface includes a plurality of single-click buttons each for initiating a pre-determined SQL query for allowing a user to generate a report for maintaining quantitative accountability for social services.

